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Toshihisa Nakano

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EXAMINER

CHEN, SHIN HON

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PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/562,816	Applicant(s) NAKANO ET AL.	
	Examiner SHIN-HON CHEN	Art Unit 2431	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 30 December 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-61 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-61 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 December 2005 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date <u>12/30/05</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-61 have been examined.

Information Disclosure Statement

2. The information disclosure statement (IDS) submitted on 12/30/05 is being considered by the examiner.

Claim Objections

3. Claims 1-61 appear to be literal translation into English from a foreign language. Although no significant idiomatic or grammatical error, the applicant is advised to amend the claims to disclose limitations with terms that are commonly associated to help determining the scope of the claims.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

5. Claims 1-61 are rejected under 35 U.S.C. 102(a) as being anticipated by Kocher U.S. Pat. No. 6442689 (hereinafter Kocher).
6. As per claim 1, Kocher discloses an information input/output system comprising: an input/output device (Kocher: column 4 lines 14-31: the verification device outputs candidate data

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items); and an information usage device that performs information input/output via the input/output device, wherein the input/output device has the information usage device perform part of processing for judging whether the information usage device is one of valid and revoked (Kocher: column 4 lines 17-20: the confirmation issuer locates a range and send back to the verification device).

7. As per claim 2, Kocher discloses the information input/output system of claim 1. Kocher further discloses wherein: the input/output device outputs an identifier list to the information usage device, the identifier list including one or more identifiers (Kocher: column 4 lines 15-20: sends a candidate data list), arranged according to a predetermined rule, that each correspond to a different valid or revoked device, the information usage device, as part of the judgment processing, uses the received identifier list in specifying a target range that includes a target identifier stored by the information usage device, and outputs range information indicating the specified target range to the input/output device, and the input/output device receives the range information from the information usage device, and uses the received range information in judging whether the information usage device is valid or revoked (Kocher: column 4 lines 14-31: the steps are taken to efficiently determine validity of certificate by generating a list to be selected by individual devices to locate ranges of certificates to be determined).

8. As per claim 3, Kocher discloses the information input/output system of claim 2. Kocher further discloses wherein the input/output device includes: an acquiring unit operable to acquire the identifier list from an external source; an output unit operable to output the acquired

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identifier list to the information usage device; an ID receiving unit operable to receive from the information usage device, the target identifier and, as the range information, one or more identifiers from the identifier list that are included within the target range; and a judging unit operable to judge whether the information usage device is valid or revoked, depending on whether the received target identifier matches any of the identifiers received as the range information, and to suppress the information input/output if the information usage device is judged to be revoked, and the information usage device includes: a storage unit operable to store the target identifier, which corresponds to the information usage device; a receiving unit operable to receive the identifier list from the input/output device, an extracting unit operable to use the received identifier list in specifying the target range, and to extract all of the identifiers included within the specified target range from the identifier list; and a data output unit operable to output to the input/output device the target identifier and the one or more identifiers extracted as the range information (Kocher: column 3 lines 3-10; column 4 lines 1-54).

9. As per claim 4, Kocher discloses the information input/output system of claim 3. Kocher further discloses wherein the extracting unit specifies the target range from one or more ranges each defined by two identifiers arranged consecutively in the identifier list, and extracts the two identifiers defining the specified target range, the data output unit outputs to the input/output device the target identifier and the two identifiers extracted as the range information, the ID receiving unit receives from the information usage device the target identifier and the two identifiers extracted as the range information, and the judging unit judges whether the

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information usage device is valid or revoked, depending on whether the target identifier matches either of the two extracted identifiers (Kocher: column 3 lines 37-42).

10. As per claim 5, Kocher discloses the information input/output system of claim 3. Kocher further discloses wherein the target identifier identifies a public-key certificate certifying the authenticity of a public key of the information usage device, each identifier in the identifier list identifies a public-key certificate of a different revoked device, the extracting unit extracts in the arranged order, the one or more identifiers included within the specified target range, and the judging unit judges the information usage device to be revoked if the target identifier matches any of the one or more extracted identifiers, and to be valid if the target identifier does not match any of the one or more extracted identifiers (Kocher: column 3 lines 37-40).

11. As per claim 6, Kocher discloses the information input/output system of claim 5. Kocher further discloses wherein the identifier list has arranged therein according to the predetermined rule, certification data that certifies, with respect to each of one or more ranges, the authenticity of the one or more identifiers included within the range, the extracting unit extracts from the identifier list, the certification data certifying the authenticity of the one or more extracted identifiers, the data output unit outputs the extracted certification data to the input/output device, the ID receiving unit receives the extracted certification data from the information usage device, and the judging unit verifies the authenticity of the received certification data, and judges, if the authenticity is verified, whether the information usage device is valid or revoked (Kocher: column 4 lines 22-31).

12. As per claim 7, Kocher discloses the information input/output system of claim 3. Kocher further discloses wherein the target identifier identifies a public-key certificate certifying the authenticity of a public key of the information usage device, each identifier in the identifier list identifies a public-key certificate of a different valid device, the extracting unit judges whether any of the identifiers in the identifier list match the target identifier, and extracts the matching identifier if judged in the affirmative, and the judging unit judges the information usage device to be valid if the target and extracted identifiers match (Kocher: column 4 lines 32-46).

13. As per claim 8, Kocher discloses the information input/output system of claim 7. Kocher further discloses wherein the identifier list has arranged therein one or more pieces of certification data, each corresponded to and certifying the authenticity of a different one of the identifiers, the extracting unit extracts the certification data corresponding to the extracted identifier, the data output unit outputs the extracted certification data to the input/output device, the ID receiving unit receives the extracted certification data from the information usage device, and the judging unit verifies the authenticity of the received certification data, and judges, if the authenticity is verified, whether the information usage device is valid or revoked (Kocher: column 4 lines 32-46).

14. As per claim 9, Kocher discloses the information input/output system of claim 3. Kocher further discloses wherein the input/output device further includes: an information output unit operable to securely output usage information to the information usage device, if the information

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usage device is judged to be valid, and the information usage device further includes: a usage unit operable to securely receive the usage information from the input/output device, and use the received usage information (Kocher: column 4 lines 1-14: the confirmation issuers receive the information).

15. As per claim 10, Kocher discloses the information input/output system of claim 3. Kocher further discloses wherein the input/output device further includes: an ID storage unit operable to store a certificate identifier that identifies a public-key certificate certifying the authenticity of a public key of the input/output device; and an ID output unit operable to output the certificate identifier to the information usage device, and the information usage device further includes: an ID reception unit operable to receive the certificate identifier from the input/output device; a list receiving unit operable to receive a revocation list via the input/output device, the revocation list including one or more revoked identifiers that each identify a public-key certificate of a different revoked device; and an ID judging unit operable to judge whether the input/output device is valid or revoked, depending on whether the received certificate identifier matches any of the revoked identifiers included in the revocation list (Kocher: column 3 lines 37-63).

16. As per claim 11, Kocher discloses the information input/output system of claim 10. Kocher further discloses wherein the input/output device further includes: a 1st processing unit operable to establish a secure communication channel between the input/output device and the information usage device, if the information usage device is judged to be valid; and an

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information output unit operable to securely output usage information to the information usage device, if the secure communication channel is established, and the information usage device further includes: a 2nd processing unit operable to establish a secure communication channel between the information usage device and the input/output device, if the input/output device is judged to be valid; and a usage unit operable to securely receive the usage information from the input/output device if the secure communication channel is established, and to use the received usage information (Kocher: abstract: the trusted party electronically transmits at least one of the digitally signed list onto the network).

17. As per claim 12, Kocher discloses the information input/output system of claim 3. Kocher further discloses the system comprising a recording medium storing the identifier list, wherein the acquiring unit acquires the identifier list from the recording medium (Kocher: column 5 lines 33-50).

18. As per claim 13, Kocher discloses the information input/output system of claim 3. Kocher further discloses the method comprising a communication medium operable to receive the identifier list, wherein the acquiring unit acquires the identifier list from the communication medium (Kocher: column 4 lines 14-31).

19. As per claim 14, Kocher discloses the information input/output system of claim 3. Kocher further discloses the system comprising a list generation device that includes: a list

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storage unit; and a generating unit operable to generate the identifier list, and write the generated identifier list to the list storage unit (Kocher: column 3 lines 37-64).

20. As per claim 15-61, claims 15-61 encompass the same scope as claims 1-14. Therefore, claims 15-61 are rejected based on the same reason as set forth above in rejecting claims 1-14.

Conclusion

21. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Williams et al. U.S. Pub. No. 20050021969 discloses delegating certificate validation.

Wildish et al. U.S. Pub. No. 20030212888 discloses method of looking up and validating a digital certificate in one pass.

Patterson et al. U.S. Pub. No. 20020053023 discloses certification validation system.

Bourne et al. U.S. Pat. No. 7370212 discloses issuing a publisher use license off-line in a digital rights management system.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to SHIN-HON CHEN whose telephone number is (571)272-3789. The examiner can normally be reached on Monday through Friday 8:30am to 5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ayaz Sheikh can be reached on (571) 272-3795. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Shin-Hon Chen
Examiner
Art Unit 2431

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Examiner, Art Unit 2431